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ABSTRACT

The Office of Juvenile Justice and Delinquency Prevention, Law Enforcement Assistance Administration, is establishing a new discretionary grant program entitled Replication of Project New Pride: A Serious Offender Youth Treatment Program. Project New Pride was chosen for replication because of its demonstrated effectiveness in Denver, Colorado, where it kept serious offenders in the community, reduced recidivism rates, improved academic abilities, found youth employment, and reduced their incarceration. Funds for this replication program are being allocated under the Omnibus Crime Control and Safe Streets Act of 1968 and the Juvenile Justice and Delinquency Prevention Act of 1974. Applicants for federal aid under this program must meet the following requirements: (1) serve a target population age 14 to 17 residing in areas of serious juvenile crime, under court supervision, and with records of multiple serious offenses in the past two years; (2) be implemented by private nonprofit youth-serving agencies; (3) have demonstrated experience in delivery and management of community-based treatment programs for youth; and (4) have signed written cooperative agreements with the judicial system, schools of higher education and organizations and agencies for provision of job training and placement, and alternative and special education. (Besides application guidelines, this document provides application forms and the addresses to which they must be sent for approval.) (ELG)

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PROJECT NEW PRIDE:

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JULY 1979

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
U.S. DEPARTMENT OF JUSTICE

UNITED STATES DEPARTMENT OF JUSTICE
OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION
WASHINGTON, D.C. 20531

PROGRAM ANNOUNCEMENT

The Office of Juvenile Justice and Delinquency Prevention, Law Enforcement Assistance Administration is pleased to announce a new discretionary grant program entitled Replication of Project New Pride: A Serious Offender Youth Treatment Program.

Project New Pride in Denver, Colorado has been selected for Replication by the Office of Juvenile Justice and Delinquency Prevention, Law Enforcement Assistance Administration because of its demonstrated effectiveness in working with populations of serious juvenile offenders through a core of integrated and comprehensive services.

The aim of this program is to replicate this community-based treatment model. Funds for this program are allocated under the authority of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Juvenile Justice and Delinquency Prevention Act of 1974, as amended.

Because of your interest in the welfare of youth we felt it important to notify you of this effort. This package contains all necessary information pertaining to the development of a full application for Federal Assistance under this National Program. Applications should be sent to the Office of Juvenile Justice and Delinquency Prevention, 633 Indiana Avenue, N. W., Washington, D. C., 20531 by September 14, 1979.

Applications will be rated and judged on the basis of all selection criteria as outlined in the enclosed Guideline. Should you have any questions concerning application submission, I suggest you contact Ms. Marjorie L. Miller at (202) 724-7759, Office of Juvenile Justice and Delinquency Prevention.

Your participation is encouraged and welcomed.

Sincerely,

David D. West

David D. West
Acting Associate Administrator
Office of Juvenile Justice
and Delinquency Prevention

UNITED STATES DEPARTMENT OF JUSTICE
OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION
WASHINGTON, D.C. 20531

ANUNCIO DE PROGRAMA

La Oficina de Justicia Juvenil y de Prevención de la Delincuencia, de la Law Enforcement Assistance Administration, se complace en anunciar su nuevo programa discrecional titulado: "Replication of New Pride; A Serious Offender Youth Treatment Program".

El projecto "New Pride" de Denver, Colorado ha sido seleccionado por esta Oficina como modelo ha reproducirse en otros lugares debido a su qran éxito. Los logros obtenidos por dicho projecto en areas poblacionales con delincuentes juveniles que han cometido faltas graves, mediante un cúmulo de servicios integrados, dan lugar a gue se promueva su implementación en otras juridicciones de la nación.

El propósito de este programa es implantar este projecto modelo en lugares donde la comunidad este dispuesta ha envolverse en la solución de los problemas de la delincuencia juvenil. Los fondos asignados para este programa caen bajo la ley 90-315 de la Omnibus Crime Control and Safe Streets Act de 1968, segun enmendada, y bajo la ley denominada Juvenile Justice and Delinquency Prevention Act de 1974, según enmendada.

Adjunto encontrará toda la información necesaria referente a cómo y qué debe hacerse para someter una solicitud, y así participar en este programa nacional. Las solicitudes deben enviarse a la Office of Juvenile Justice and Delinquency Prevention, 633 Indiana Avenue, N. W., Washington, D. C., 20531. La fecha límite pard solicitar es Septiembre 14, 1979.

Las solicitudes sometidas serán evaluadas y juzqadas en base a los criterios de selección contenidos en el material adjunto.

Si tience alquna duda o pregunta al respecto favor de comunicarse con Ms. Marjorie L. Miller, telefono (202) 724-7759.

Fomentamos y exortamos su participación en este programa.

Sincerely,

David D. West

David D. West
Acting Associate Administrator
Office of Juvenile Justice
and Delinquency Prevention

PROGRAM GUIDELINE
REPLICATION OF PROJECT NEW PRIDE

A. Program Objective. The objective of this program is to establish non-residential community-based treatment projects for adjudicated youth with a history of serious offenses. The program model is based on reducing recidivism, improving social functioning, and increasing academic achievement, job skills and employment of youth who have repeatedly failed in traditional programs.

B. Program Description.

1. Background. The Denver (Colorado) New Pride Project has been selected for replication by the Office of Juvenile Justice and Delinquency Prevention, Law Enforcement Assistance Administration because of its demonstrated effectiveness in working with a target population of serious juvenile offenders through a core of integrated and comprehensive services which have been described as a "Wholistic Approach." Since its inception in 1973, Project New Pride has demonstrated success in keeping serious offenders in the community, reducing recividism rates, improving academic abilities, employing youth and reducing their incarceration. The projects, through extensive and well developed relationships with juvenile justice agencies, have had a most significant impact on the Denver juvenile justice system's dispositional response to youth adjudicated for serious offenses. Juvenile justice agencies refer multiple offenders to Project New Pride with confidence that both youth and community interests are protected.

2. Problem Addressed. The problem addressed by this Initiative is the lack of effective non-residential community-based treatment approaches for serious juvenile offenders with a myriad of social adjustment problems, and a history of failure in traditional alternatives. Based upon a skilled diagnostic assessment of each youth referred, the project will provide comprehensive and integrated treatment services supported by intensive supervision. Projects will be implemented by private non-profit youth-serving agencies in conjunction with public institutions such as courts, schools, probation services, police, and other human resources agencies.

3. Program Target. The target for this program is adjudicated youth from 14 to 17 years of age residing in jurisdictions with high levels of serious juvenile crime, under court supervision for a serious offense, with records of at least two (2) prior adjudications/convictions for serious misdemeanors and/or felonies (preferably robbery, burglary, or assault) within the past 24 months who would otherwise be confined in correctional institutions or placed on probation. There will be no deviations from these target population characteristics except for applicants from jurisdictions that have established a maximum juvenile court jurisdictional age other than 18.

4. Result Sought. Based on experiences of the Denver New Pride Project, results sought from this Initiative are:

   a. Increased school achievement, remediation of learning disabilities, employment of youth participating in the program and improved social functioning.

   b. Reduction in the incarceration of youth adjudicated for criminal offenses.

   c. Reduction in rearrests for any offense of those youth involved in the community-based treatment project.

   d. Institutionalization of comprehensive and integrated community-based treatment services for serious juvenile offenders through redirection of state and local resources into more cost-effective community-based treatment services.

5. Working Assumptions

   a. The project developed in replication of Project New Pride will be capable of both decreasing unnecessary incarceration of certain types of serious juvenile offenders and reducing recidivism among these offenders, through effective community-based program intervention.

   b. When the number of prior arrests is correlated with recidivism, the greater the number of arrests, the greater the likelihood for continued delinquent activity (Wolfgang and Collins, 1978 and Carr & Moloff, 1972). Therefore, the serious offender with several prior arrests is more likely to recidivate unless intervention occurs.

c. Meaningful employment is an effective deterrent to delinquent activity.

d. A disproportionate number of youth with identifiable learning disabilities are represented in the adjudicated offender population as compared to the general population.

e. Treatment must be individualized and must take into account academic, psychological, vocational, and physical factors. A thorough diagnostic and needs assessment will enhance the accurate determination of client needs and the services necessary to meet those needs.

f. Cultural, physical, and health education is necessary for normal socialization. The serious offender is isolated from the social mainstream and does not have the necessary information or self-confidence to utilize existing resources.

g. Low academic achievement is highly correlated with delinquency, as is self-concept. (Frease, 1972.) Further research indicates that in many instances, the traditional school system is a stimulus for delinquent behavior. (Elliott, 1966.) Therefore youth with a history of serious offenses are likely to be academic underachievers and require individualized remedial education, and remediation of learning disabilities.

C. Program Strategy.

1. Program Design. Applications are invited for action projects which replicate the Denver New Pride Project. It is a community-based treatment model administered by an agency outside the justice system which includes the following integrated program elements (see Appendix 1 for a detailed description of each):

a. Diagnostic assessment.

b. Remedial education.

c. Special education for youth with learning disabilities.

d. Job preparation and job placement.

e. Intensive supervision.

f. Volunteer support.

g. Follow-up services.

2. Performance Standards. While the funded projects will vary in relation to the resources and characteristics of the jurisdiction, all programs must include all components listed above as well as meet the following performance standards:

a. Provide for the intensive and consistent participation of all cognizant juvenile justice agencies in all phases of the projects, throughout their existence.

b. Provide for legal safeguards to protect the rights of participating juvenile offenders. Such safeguards must assure that a youth is represented by counsel at any hearing which may result in termination of participation in the project or result in incarceration.

c. Utilize existing resources within the jurisdiction and involve both public and private non-profit agencies in the development and implementation of the project.

d. Provide for an advisory board which will participate in all phases of planning and program implementation throughout the duration of the project. The board must include youth, community residents and representatives from juvenile justice sytem agencies, institutions of higher education, private industry, labor unions, and local and state public officials.

e. Develop and pursue a strategy for institutionalization of the project after Federal funding ceases at the end of the three (3) year project period.

f. Include appropriate public education and information dissemination activities which gain and maintain public understanding and support for the program.

g. Develop a program management component which includes a management information system and procedures for using feedback in program planning and operation.

3. Range and Duration of Grants. The grant period for this program is three years, but awards will be made in increments of 24 months and 12 months. Third year continuation awards are contingent upon satisfactory grantee performance in achieving stated objectives in the previous year(s), availability of funds, and compliance with the terms and conditions of the grants. Grants will range up to $450,000 for each year per site, with the amount of funding for each grant based upon the number of juveniles served, the cost-effectiveness of the project design, and the jurisdiction's capacity to absorb the program after this funding terminates. Funds for this program are allocated under Part C and E of the Omnibus Crime Control and Safe Streets Act of 1968, as amended. Pursuant to Sections 306(a)(2) and 455(a) of the Act, funds awarded in response to this Guideline require a 10% cash match for the initial two-year period. There can be no waiver of this cash match requirement. Grants may be terminated at any point for failure to meet program requirements or performance standards. OJJDP reserves the option to require an increase in grantee's cash contribution in the third year of funding in order to encourage institutionalization of projects.

4. Applicant Eligibility. Applications are invited from private non-profit organizations and agencies in jurisdictions with high levels of serious juvenile crime. In these jurisdictions, youth served by the project must reside in neighborhoods having the highest levels of serious juvenile crime.

5. Applicant Capability. While applications may reflect the participation of several public and private youth-serving agencies and organizations, the implementing agency must meet the following conditions of capability, and show evidence by past performance of the applicant's ability to provide project services directly or to contract for them as discussed in subsections (2) through (5), below. Applicants must describe the expertise of professional staff and their ability to directly provide critical services to referred youth. See Appendix 4 for core staffing pattern. Failure to meet any one of these conditions or the requirements defined above for "Applicant Eligibility" will disqualify the applicant and the application will be considered ineligible and reviewed no further.

a. Be located outside the formal structure of the juvenile justice system.

b. Have substantial capacity for providing leadership in planning, standard setting, and coordination of youth services as evidenced by the inclusion of the following written agreements which must, where applicable, specify levels of services to be provided, projected outcomes, number of slots to be allocated, specific types of training and employment placements, number of volunteer interns, and detailed purchase of service contracts.

(1) Signed court agreements with the presiding judge or judges of the juvenile court, the district attorney and the chief of probation services regarding referral of the designated target population. Agreements must be provided with any other component of the juvenile justice system involved in dispositional decisions regarding adjudicated serious offenders.

(2) Signed written agreements with agencies capable of providing alternative education and special education in relation to learning disabilities.

(3) Signed written agreements with public and private sector agencies and organizations regarding job training and job placement.

(4) Signed written agreements with schools of higher education regarding the placement of volunteer interns.

(5) Any other signed written agreements where there may be a purchase of service contract.

c. Have demonstrated experience and skill in the delivery and management of effective community-based treatment programs for youth.

D. Application Requirements. These requirements are to be used in lieu of Part IV, Program Narrative Instructions of the Federal Application Form 424. In order to be considered for funding, applications must include the following information, and in the order outlined in this Guideline:

1. Applicant Eligibility.

   a. Provide statistical documentation of the juveniles who were adjudicated for criminal offenses over the past year (1978). In doing so, prepare a chart using Appendix 2 of this Guideline which shows each type of offense, the number of juveniles adjudicated, by age range, sex, race, and dispositions by the processing agency.

   b. Indicate geographic boundaries in which the project will operate. Provide police juvenile arrest data for targeted neighborhoods.

2. Applicant Capability.

   a. Provide a list of the statutory rules, codes and ordinances governing juvenile behavior in the target jurisdiction. Provide a list of administrative procedures including formal and informal policies which regulate or prescribe methods for responding to juvenile behavior at the adjudicatory stage of the juvenile justice process.

   b. Provide a list of existing community-based treatment projects presently serving serious youthful offenders within the target jurisdiction. Include a brief description of each, and proposed relationships with the Project New Pride replication.

   c. Provide written agreements as outlined in paragraph C5 which are specific with respect to the referral of the target population, dispositional alternatives to be applied,the types and amount of services, and resources to be provided by participating organizations and agencies.

   d. Provide a description of the implementing agency as required in paragraph C4 and include a copy of the governing bylaws, board and organizational structure, and staffing pattern. Provide resumes of core administrative and treatment staff.

3. Project Goals and Objectives. Outline project goals and objectives in measurable terms with respect to the number and specific characteristics of youth who will be served by the project. This should include the projected reduction

in numbers of rearrests and commitments, increases in academic performance levels, increases in number of youth employed, improvements in the social functioning of youth served, and the institutionalization of the project. The impact levels established by the Denver Project are outlined in the brochure Project New Pride: An Exemplary Project. (Copies of Project New Pride: An Exemplary Project, July 1977, NILECJ/LEAA, may be obtained from the Office of Juvenile Justice and Delinquency Prevention, LEAA, Room 442, 633 Indiana Avenue, NW, Washington, DC, 20531.) It should be stressed that publication of Project New Pride: An Exemplary Project should be used as background information only. The manual was written two years ago and during that period some refinements have been made to critical program elements. The critical program elements are explained in detail in Appendix 1. All applicants are urged to carefully review the critical program elements contained in Appendix 1 as well as read the New Pride Manual.

4. Program Methodology. Based on the information provided in Program Strategy, paragraph C1 - 5 of this Guideline, develop a project design which provides a clear description of the following:

   a. Procedures for selecting those youth who will participate in the program.

   b. The manner in which the project elements outlined in paragraph C1 in this Guideline will be structured and implemented. For additional information refer to Appendix 1 of this Guideline.

   c. The manner in which the performance standards as outlined in paragraph C2 in this Guideline will be implemented.

   d. The manner in which the performance standards as outlined are addressed. Specify in detail the functions, qualifications and relationships of key units and staff. The applicant should make clear the extent to which the personnel needs are met by new recruits, transfers from other parts of the agency, or personnel already employed by other programs.

5. Workplan. In addition to following the format described in the Guide for Discretionary Programs, M 4500.1G Appendix 5, Parts III and IV, prepare a detailed work schedule which

describes specific project objectives in relation to activities, milestones, and time frames for accomplishing the objectives. The workplan and budget should be prepared to allow for a three to six month startup period.

6. Budget. Prepare a budget of the total costs to be incurred in carrying out the proposed project over three years with a detailed breakdown and narrative for the first two budget years. Include in the budget travel for three (3) staff persons to attend four (4) technical assistance and training sessions for the first grant period for an average of three (3) days.

E. Criteria for Selection of Projects. Applications will be rated and selected using the following criteria. Where criteria are met equally, in making final selections, LEAA will consider geographic distribution of projects.

1. The extent to which applicants meet the capability and eligibility requirements as outlined in paragraph C5.

2. The extent to which serious juvenile crime is a significant problem in relation to its occurrence nationally.

3. The extent to which the project design conforms to the New Pride Model.

4. The extent to which the application is responsive to the performance requirements as outlined in paragraph C2.

5. The extent to which the project is cost effective in relation to the number of youth served, the project design, and work schedule.

F. Submission Requirements.

1. The replication of Project New Pride has been determined to have national impact and applications must be submitted in accordance with the instructions outlined in Appendix 2, of Guide for Discretionary Grant Programs, M 4500.1G, issued September 30, 1978, including appropriate consultation with State planning agencies. Refer to Appendix 5, Part II and Part IV, for instructions on how to prepare the budget, budget narrative, and program narrative.

2. All applicants must submit the original application and two copies to the Office Juvenile Justice and Delinquency Prevention, LEAA, Room 442, 633 Indiana Avenue, NW,

Washington, DC, 20531, no later than September 21, 1979. Applications sent by mail will be considered to be received on time if sent by registered or certified mail not later than September 21, 1979, as evidenced by the U.S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service.

3. One copy must also be sent to the appropriate State A-95 Clearinghouses and state planning agencies (SPAs) for review and comments. The addresses of Clearinghouses and SPAs are listed in Appendices 7 and 8 of this Guideline. Documentation of these submissions must be included in the application.

G. Evaluation Requirements.

1. The projects funded under the program will be evaluated by an independent evaluator selected by the Office of Juvenile Justice and Delinquency Prevention under a separate solicitation. The national evaluation design will be based on the management information system developed and used by the Denver Project New Pride. The national evaluator will provide training and technical assistance to each project in implementing the New Pride Management Information System and develop a systems/community impact design to be implemented at selected projects. All applicants must provide assurance of full participation in and cooperation with the evaluation requirements. This will include providing project data to the national evaluator.

2. The major goals of the evaluation are:

   a. to develop information on client and services issues which can be used to refine the New Pride model; and

   b. to determine under what conditions the program can be implemented in different types of jurisdictions.

3. Project Evaluation Components. Each project will implement a program management/self-evaluation system, based on the system developed by Project New Pride, Inc., under the direction of the national evaluator. This system will address the following objectives.

   a. to develop the information on the numbers and types of youth served by the project;

b. to develop information on the level and types of services provided;

c. to determine the impact of the project on school achievement, remediation of learning disabilities, and employment of youths served by the project;

d. to determine the impact of the project on rearrest rates of youths served by the project;

e. to determine the impact of the project on the number of youth incarcerated; and

f. to determine what types of services appear to be most effective for what types of youth, and under what conditions.

4. National Evaluation Component. The objectives of the national evaluation are:

a. to develop profiles of the types of youths served by the projects; and

b. to document and assess the development, implementation and results of the projects' management/self-evaluation components.

The national evaluation will also include juvenile justice system and community impact evaluation at selected sites.

H. Technical Assistance. Project New Pride has field tested the program elements being replicated by this Initiative over the past four years. However, New Pride continues to test state-of-the art techniques in the original project, as well as in other programs it operates in Denver, (Central Denver Youth Diversion, Morgan Center for Learning Disabilities), and will be in a position to up-date selected sites as to the feasibility of the implementation of program elements. New Pride (Denver), the host project, will participate in the delivery of on-going technical assistance, orientation and training. Management information staff employed by each of the replication sites will be responsible for the submission of the data collection forms on a monthly basis to the national evaluator. This data will be fed into the technical assistance process.

I. Definitions

1. Adjudication is the process of determining guilt or innocence in juvenile court proceedings by either a counseled plea of guilty or a formal fact-finding hearing.

2. Disposition is that procedure in the juvenile court process which results in the imposition of a sentence, e.g., probation or commitment.

3. Delinquency is the behavior of a juvenile, in violation of a statute or ordinance in a jurisdiction, which would constitute a crime if committed by an adult.

4. Jurisdiction is any unit of general local government such as a city, county, township, borough, parish, village, or combination of such units.

5. Juvenile is a child or youth, defined as such by state or local law, who by such definition is subject to the jurisdiction of the juvenile court.

6. Juvenile Justice System refers to official structures, agencies, and institutions with which juveniles may become involved including, but not limited to, juvenile courts, law enforcement agencies, probation, aftercare, detention facilities, and correctional institutions.

7. Private Youth-Serving Agency is any agency, organization, or institution with two years experience in dealing with youth, designated tax exempt by the Internal Revenue Service under Section 501(c) of the Internal Revenue Code.

8. Program refers to the national initiative to establish programs supported by OJJDP and the overall activities related to implementing the program.

9. Project refers to the specific set of activities at given site(s) designed to achieve the overall goal of reducing delinquent behavior through the use of the purchased methods.

10. Public Youth Serving Agency is any agency, organization, or institution with two years experience, which functions as part of a unit of government, and is thereby supported by public revenue for purposes of providing services to youth.

11. Serious Juvenile Offender. For the purposes of this Initiative, serious juvenile offenders are defined as adjudicated youth under court supervision 14-17 years of age with records of at least two (2) prior adjudications/convictions for serious misdemeanors and/or felonies (preferably robbery, burglary, or assault) who would otherwise be confined in correctional intitutions or placed on probation.

APPENDICES

APPENDIX 1	PROGRAM ELEMENTS
APPENDIX 2	JUVENILE OFFENSE PROFILE
APPENDIX 3	NEW PRIDE, INC., ADVISORY BOARD
APPENDIX 4	STAFFING PATTERN AND ORGANIZATIONAL CHART
APPENDIX 5	NEW PRIDE, INC., CLIENT FLOW CHART
APPENDIX 6	COMMENTS RECEIVED REGARDING THE NEW PRIDE REPLICATION AND LEAA'S RESPONSE
APPENDIX 7	DIRECTORY OF STATE CLEARINGHOUSES AND CENTRAL INFORMATION RECEPTION AGENCIES
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APPENDIX 10	APPENDIX 2 OF GUIDE FOR DISCRETIONARY GRANT PROGRAMS, M 4500.1G, ISSUED SEPTEMBER 30, 1978, "PREPARATION AND SUBMISSION OF APPLICATIONS"
APPENDIX 11	APPENDIX 5 OF GUIDE FOR DISCRETIONARY GRANT PROGRAMSM 4500.1G, ISSUED SEPTEMBER 30, 1978, "SPECIAL INSTRUCTIONS FOR NON-CONSTRUCTION GRANT APPLICATIONS STANDARD FORM 424"

APPENDIX I

I. CRITICAL PROGRAM ELEMENTS

A. Diagnostic Assessment

Project New Pride, Inc., uses an inter-disciplinary diagnostic team to individually evaluate all clients. Test results are combined with a needs assessment to determine appropriate placement. The diagnostic process is based on the philosophy of administering only as much testing as is necessary to adequately define individual needs of each client. The concept of levels of testing evolved from this philosophy. These levels of testing cover four general areas of assessment--screening, in-depth psychological testing, learning disability testing, and projective psychological testing.

All New Pride clients receive the screening battery which is designed to be a general assessment covering the areas of sensory and learning processes, academic, and psychological functioning. This battery includes hearing and vision acuity screening tests; an instrument to measure the client's self-esteem; an instrument to assess academic functioning in the areas of reading, spelling and arithmetic; a learning disabilities screening battery containing ten items to assess visual, auditory and motor processing deficits; and a diagnostic questionnaire which includes questions tapping social, educational and psychological perceptions of the client. This measure was included because information generated by the adolescent himself provides self-respect data which is an essential basis for comparison with objective test data and provides a foundation for understanding the individual's acquisition of adaptive behavior skills. The purpose of the screening battery is not to specifically define deficiencies, but to indicate the need for further assessment.

After the screening battery, the diagnostic team makes an inter-disciplinary decision as to whether to recommend further testing. The following criteria serve as a guide in making that recommendation:

1. A level of functioning at the 25th percentile or less on the academic instrument.

2. Significant deficits revealed by the learning disabilities screening battery.

3. Information provided by supportive agencies (e.g., public school records) indicating the possiblity of a learning problem.

At this time, if a recommendation is made for further testing, an in-depth assessment of intellectual and reading functioning is the next step toward assessing a learning disability. Another recommendation may be for further testing by hearing or vision specialists in these fields if the clients fail the hearing or vision acuity screening tests. The second level of testing consists of an age appropriate instrument to measure intellectual functioning and an indicator of patterns of learning dysfunctions. Additional instruments are used for refinements of dysfunctions in the visual-motor channel as indicated on the learning disabilities screening battery, and an instrument to corroborate the reading scores obtained. At this level of testing, a client may or may not be identified as learning disabled based upon the operational definition of significant discrepancy between intellectual functioning given an average I.Q. and academic achievement, with indications of process dysfunctions. If the client is ascertained to be learning disabled, a recommendation is made for the client to receive services at New Pride's Morgan Center for Learning Disabilities, or in a special program in public or private schools. A staffing is then held which involves members of the Diagnostic Team and the Intake Component to decide upon a recommendation for services.

The third level of testing is then administered to further clarify and define the specific learning disabilities. It is comprised basically of tests to assess process dysfunction and to further verify academic functioning in the area of math achievement; the other tests are process tests measuring visual, auditory, motor, language and motor dysfunctions. From this level of testing a specific pattern of learning disabilities is defined and an individual educational perscription is recommended.

A fourth level of testing involves the administration of projective tests which are administered only when significant emotional factors are indicated by group consultation or after the client is referred to a treatment component. This level of testing is designed to assess specific patterns of emotional and behavioral functioning. In defining learning disabilities, projective testing is important to rule out emotional disturbances as the primary cause of the learning problem rather than a specific learning disability.

B. Remedial Education

Academic remediation is designed to decrease educational lag and to facilitate reintegration into the public schools following completion of the intensive phase of the program. Typically, the client entering New Pride is several grade levels behind in academic ability, and has had a number of school-related failures ranging from truancy to suspension. Many have not adjusted well in the traditional school setting. Having experienced little success, academically or socially, school has become an experience to avoid. This lack of success demonstrated by low academic ability is measured by a battery of academic tests and personality inventories administered by the Diagnostic Team.

Based on the results of the administered tests, clients are assigned to classes in the New Pride Alternative School. Clients attend on a semester basis, Monday through Friday (either in the morning session, 9:00 a.m. - 12:00 noon, or in the afternoon session, 1:00 p.m. - 4:00 p.m.). The Denver Public School system awards 23 to 25 academic credits for successful completion of each semester.

Credits are given in the following subjects: English, Mathematics, Social Studies, Science, Physical Education, and Practical Arts. An additional two credits may be earned by the student through participation in the employment component. Two certified teachers operate the alternative school and are assisted by two teacher's aides and numerous volunteers, who respond to the students' need for assistance with their academic work. The general format is one-to-one tutoring and a daily group activity. Staff are extremely supportive of the students' efforts, encourage their strengths, and attempt to make the academic work in the various areas rewarding to the students who have previously experienced repeated failure.

C. Special Education to Youth with Learning Disabilities

The primary focus of therapy at Morgan Center is to remediate or compensate for the most common learning disabilities observed in the client population. A primary hypothesis of the approach is that one of the contributing factors to the academic failures experienced by many Morgan youth is their failure to develop an organized, efficient perceptual system. In many instances, splinter skills have been developed which hamper the integration of stimuli perceived through the various sensory modalities (visual, auditory, tactile, kinesthetic). In order to achieve maximum benefit from their sensory system, a highly individualized

multi-disciplinary approach must be taken which considers both client learning strengths and weaknesses, and how they affect not only the youth's academic performance, but his social performance in general. The Morgan Center tries to help its clients build a "personal learning system," which will help him to achieve successes in academics, employment and in the community.

Of these clients diagnosed as learning disabled by New Pride, almost 100% possessed auditory problems. The auditory channel is one of the most important avenues through which children and adults receive information about their environment. Morgan Center clients often possess hearing acuity within the normal range of hearing, but have difficulty processing and obtaining meaning from auditory stimuli. Analysis of Morgan Center data suggests that a child who has difficulty processing auditory stimuli will perform poorly in some of the following tasks: (1) identify the source of sounds, (2) discriminate among sounds or words, (3) reproduce pitch, rhythm, and melody, (4) distinguish significant from insignificant stimuli, (5) combine speech sounds into words, or (6) understand the meaning of environmental sounds in general.

The second most commonly observed learning disability involves visual processing. In addition to observations made at the Morgan Center are a number of research studies which indicate that the processing of research studies which indicate that the processing of visual stimuli is a complex act that is highly active and investigatory. Eight stages are involved in visual processing operations. A brief description of the eight-stage visual processing operation follows: The person actively scans the object, identifies the significant visual cues, and attempts to integrate them into a simultaneous spatial construct. The visual image is tentatively put into a category and compared with the actual object as it is perceived. If the visual image is consistent with the object, the person terminates the perceptual activity. If the visual image and the actual facts are in disagreement, corrections are introduced into the previous visual hypothesis. For objects which are unfamiliar, the viewer may require all eight stages. In contrast, the process for perceiving familiar objects is briefer. Complex visual objects which are familiar to the viewer can be identified from one dominant sign, and verification that the image is correct takes place almost instantaneously (Gibbon, 1966).

Although many Morgan clients may be called "visual learners," in many instances their lack of basic auditory processing skills has resulted in a tendency to overcompensate through the visual channel. Thus, while the visual channel may be observed as

a learning strength for most Morgan youth, inefficient use of visual skills in relation to other sensory modalities tends to hamper maximum utilization of the visual system, therefore prohibiting development of an efficient, integrated perceptual learning system. Morgan Center clients suffer from dysfunction in which the students can see but experience difficulty in: (1) visually examining the individual details of an object; (2) identifying the dominant visual cues; (3) integrating or combining individual visual stimuli into simultaneous groups and obtaining meaning from the object; (4) classifying the object in a particular visual category; and (5) comparing the resulting visual hypothesis with the actual object as it is perceived.

Other disabilities are diagnosed with varying degrees of frequency; kinesthetic and motor disabilities are also common among Morgan Center's client population.

Morgan Center's approach to the treatment of learning disabilities is multi-disciplinary. Experience indicates that no single treatment mode is more effective than another, but that a multi-disciplinary approach to diagnosis and treatment is most favorable. Although the emphasis at the Center is on remediation or compensation of learning disabilities and academic remediation, these are only parts of a complex set of needs possessed by the juvenile serious offender that must be met if intervention is to be effective in reducing both recidivism and incarceration.

D. Cultural, Physical and Health Education

Cultural education is designed to expose youth to the total community, not just one segment of it. Youth are accompanied by staff and volunteers on a variety of field trips. Staff and volunteers act as guides and interpreters on field trips. In many instances community services can be obtained at no cost to the program. Clients are often unaware of their availability and consequently are not exposed to activities that help in the socialization process. Guest speakers are used also to reduce the isolation of the client in the community.

Physical education is a structured part of the program and is designed to teach self-awareness, group interaction, cooperation, and inter-dependence in a supervised environment. Physical education is conducted in gyms, recreational centers or parks. All physical education activities are supervised and the staff observes and records individual behavior during the supervised

group activities, since these observations are used to develop counseling activities focused on self-control, etc. Games such as basketball are viewed as ideal because they demand cooperation, group interaction, and dependency on others. Additionally, for the learning disabled client, physical education is a part of the therapy program and staff will concentrate on aspects of games that help strengthen specific sensory modalities.

Health education is offered to help youth become aware of and understand the need for personal health care (diet, grooming, hygiene, etc.) and to help them implement personal health care plans. Health professionals from city agencies are guest speakers and instructors for this part of the program. New Pride youth are lower socio-economic status and frequently suffer from poor nutrition. Discussions on diet and improving nutrition are tailored to food items that are commonly found in their homes. Frequently the clients will become parents and have little knowledge about how the body functions, or normal growth and development of their children. Consequently, a variety of health-related topics are offered to clients.

E. Job Preparation and Job Placement

The employment component of Project New Pride, Inc., is designed to introduce youth to the world of work and its expectations. Emphasis is placed on providing clients with a meaningful employment experience, through which they can earn income for work actually performed. Private sector employment is preferred and employers become part of the treatment team.

The emphasis in the employment component is the development of work habits, punctuality, reliability, and the experience of obtaining a job. New Pride clients are relatively young (average age is 16), and still attending school; therefore, job retention is secondary to the actual work experience. Part-time jobs for this population are more appropriate because these clients typically are deficient academically or learning disabled. The learning disabled youth, in particular, has specific needs which must be addressed if the employment experience is to be successful. Consequently, it is necessary for the employer to have access to both the teacher and the counselor when appropriate. Both the client and the employer are contacted on a regular basis to determine the progress of the youth during his period of employment. The client's treatment plan can be adjusted if the employment experience requires it.

Although employment as a treatment variable has been demonstrated to be effective (80% reduction in recidivism while employed), the other critical elements must be provided. School

related problems must be addressed if the youth is to be successfully employed. Additionally, career counseling is viewed as essential to developing job habits and marketable skills. The client's interests and abilities are carefully determined prior to placement on a job. Employers who have a commitment to working with youth and an interest in teaching job skills are actively sought by the program.

New Pride pays the salary of all youth (minimum wage) for the first three months of employment. Attempts are made by New Pride to get commitments from employers to pay salaries after the initial three-month period. A variety of employment opportunities are provided with preference being given to private sector employers. This preference is based on the assumption that most youth will eventually seek employment on their own following program completion and most will try to enter the private sector rather than the public. In addition, small to mid-size employers are preferred because of their ability to closely supervise and provide training.

Job preparation is an integral part of the program and has been designed into the curriculums of both the alternative school and the learning disability center. Workshops are held with all youth with emphasis placed on interviewing techniques, filling out application forms, grooming, presentation, etc. Video equipment is used to practice and improve the ability of a client to interview. In addition, clients are taken on field trips to a variety of companies in an effort to expose them to different employment opportunities. Local manpower services are also utilized whenever they are appropriate. Employment counselors are primarily responsible for pre-vocational training. However, all staff and volunteers may be involved because of New Pride's "wholistic" approach. Audio-visual materials are also used in the employment workshops and guest speakers are frequently used. Clients are given the opportunity to experiment with different occupations, although attempts are made to correctly identify aptitudes and abilities prior to job placement. If a placement is to be made into a specialized area such as construction trades, each client will enter a formal program of classroom training for six weeks. This training focuses on specific skill areas and job safety. All clients are expected to complete this classroom training prior to placement on a job in the construction industry.

Employment counselors also develop jobs and establish relationships with employers. Potential employers are briefed on how the juvenile justice system functions and behavioral characteristics of the New Pride population. Employers also know that

counselors are always available upon request. Further, should a client not report for work, his counselor is notified immediately and steps are taken to determine why the person did not come to work. Clients are paid only for work performed and the employment counselors devote a considerable amount of time explaining pay scales and paydays prior to placing a client on a job. All youth must obtain a Social Security card prior to employment. Money management, banking and savings accounts are also included in the pre-vocational program.

F. Intensive Supervision

New Pride clients receiving intensive supervision are contacted daily by counselors. The intensive phase begins on the day that the client is staffed into a treatment component, and intensive supervision is both client and family oriented. Counselor caseloads do not exceed 10 to 15 active cases, and the entire family unit is considered to be a part of the counselor's caseload. Treatment goals are established for each client and detailed casenotes are maintained which chart progress in accomplishing the goals. These goals are usually short-term and are concentrated in the areas of behavioral and additional problems which can be readily addressed. Treatment goals are determined by the diagnostic examination and needs assessment. Modification can be made to the original goals with the concurrence of the Counselling Supervisor.

Individual, family and group counseling is provided by staff a minimum of two sessions a week. When appropriate counselors will coordinate the efforts of other community agencies (i.e., mental health) working with the client. Counselors focus on the socialization of the youth, giving particular attention to the client's learning problems, and how they affect his behavior. Individual counseling is oriented toward teaching the client coping skills. Emphasis is placed on helping the client understand how the community functions, as it currently exists, and the necessity for education and employment is also stressed. Counselors are advocates for the youth, and it is mandatory that they accompany the client to any court appearance, with a detailed written report.

Counselors frequently become resources to the family, and family counseling involves educating the parents about their child's learning problem or disability and to problems that the client might have. The majority of New Pride clients are lower-socio-economic status and might require some form of public assistance. During the intensive supervision phase, counselors are expected

to help the client and his family receive any appropriate assistance. If a referral is made to another agency, the counselor insures that services requested are delivered.

Individual counseling also includes living within a fixed income, cultural opportunities available in the community, coping with the cultural mainstream, continuing education after termination from the program, and post-delinquency life-styles. The client is counseled on becoming responsible for his actions and, during the follow-up period, dependency on the counselor is reduced.

G. Volunteer Support

Since its inception, New Pride has relied on the extensive involvement of volunteers. Volunteer agencies such as the American Red Cross have provided pools of volunteers continually to the program. The extensive use of volunteers in all aspects of the program has enabled New Pride to individualize its treatment services. Local colleges and universities have also provided another source of volunteer support. Student interns from both graduate and undergraduate schools have specific expertise which can be matched to the needs of the program.

All volunteers, either Red Cross or student interns, are required to give specific time commitments. Volunteers receive the same training that staff members are provided and participate in in-service training. Additionally, volunteers are encouraged to express their opinions, and information provided by them has led to significant improvement in the delivery of services.

All volunteers are screened and interviewed prior to being accepted by New Pride. The interviewing process is similar to that used in identifying new staff. Volunteers also undergo a probationary period and are closely supervised by professional staff. Volunteers have proven to be especially effective in working with the two school programs. Additionally, volunteers are routinely used as guest speakers and on field trips.

H. Follow-Up (Second Six Months)

The purpose of the follow-up phase is to continue to meet the needs of clients who have completed the intensive segment of the program. Counselors continue to provide support and direction during this period. Treatment objectives for each client are developed for the follow-up phase, similar to ones that were established during the intensive phase. However, the client assumes more responsibility for meeting the objectives during this period.

Counselor-client meetings during this period vary from once a week to bi-monthly sessions, depending upon need. Contacts are client-initiated. During this period, the client will be reintegrated into appropriate placements in the community, i.e., public school, community vocational educational programs, etc.

Although a client can continue to receive a range of New Pride services during the follow-up phase, attempts are made to decrease the amount of staff dependency that was created during the intensive phase. Counselors maintain detailed case records during this period and meet periodically with counseling supervisors to discuss client progress toward self-sufficiency. Additionally, the same strategy is followed with the client's family in decreasing their dependency on the staff. Other community resources are identified for the family unit and again attempts are made to involve others in the treatment of the client and his family rather than relying solely on the New Pride staff. The wholistic concept of providing well-integrated services during this period is maintaind by all staff and volunteers working with the client and his family.

II. TWELVE-MONTH PROGRAM PHASES

Intensive Phase

First Month:

Initial contact is made with the client immediately following referral and a needs assessment is conducted at his home. The client is then diagnostically screened and individualized treatment plans (education and intensive supervision) are developed and the client is enrolled in the appropriate alternative education program. Job training begins during this period and, following two weeks of employment workshops, the client is placed on an appropriate subsidized job. Refinements are made to the individualized education and supervision plans. Clients are contacted daily during this period.

Clients attend the appropriate educational program daily and are seen by their assigned counselors on a daily basis for intensive supervision. The majority of the youth will also be working during this period (exceptions may be made for the severely learning disabled) and will also be seen by the employment counselor. The family will also be intensively involved with the counselor during this period. Additionally, the counselor will

serve as a resource person to the entire family unit, arranging appointments with other agencies, i.e., Health and Hospitals, Social Services, Housing, etc. Detailed casenotes must be maintained and it is essential that all staff closely coordinate their efforts. Failure to do so will destroy the concept of "providing services in a well-integrated fashion." Interim and post-testing will also be performed during this period to chart individual progress.

NEW PRIDE, INC.
DENVER, COLORADO

APPENDIX 2

NEW PRIDE- PROGRAM GUIDLINES

JUVENILE OFFENSE PROFILE

Type of Offense	Total Number Juveniles Adjudicated	Average Age/ Age Range	Sex	Race	Dispositions (by Types & Numbers)

APPENDIX 3

NEW PRIDE, INC., ADVISORY BOARD

The duties of the Advisory Board are to review and evaluate the effectiveness of the New Pride program. In addition, all significant programmatic changes must be approved by the Board. Meetings are held monthly and a quorum must be present to perform policy functions.

The selection of Board members is based on the following criteria: expertise, knowledge of the commmunity, professional experience, commitment, and the willingness to assume responsibility for the sound fiscal and programmatic management of the project. Board members are elected for a one-year term and vacancies are filled by a majority vote of the Board. Board members represent the following community interests:

1. College or university instruction
2. Legal
3. Community Programs
4. Community-Based Correctional Programs
5. Business
6. Human Services
7. Private Citizen
8. Local Public Officials

APPENDIX 4

NEW PRIDE - PROGRAM GUIDELINES

STAFFING PATTERN

A. PROJECT CORE STAFF

1. ADMINISTRATION:

   Project Director
   Fiscal Officer/Assistant Director
   Secretary/Office Manager
   Typist/Receptionist

2. TEACHING STAFF:

   L.D.: 1 learning disabilities teacher
   1 speech and language teacher
   student intern volunteers (one-to-one)

   Remedial: 2 classroom teachers
   student intern volunteers (one-to-one)

   School Maintenance/Volunteer Coordinator

3. EMPLOYMENT COUNSELOR(S): (for every 20 children)

4. COUNSELOR SUPERVISOR: COUNSELOR (3)
   INTAKE AND CASE WORK (for every 20 children)

5. INTAKE/SCREENING:

   Diagnosticians: Learning Disabilities Specialist

   2 Psychometrists

B. CONTRACTUAL

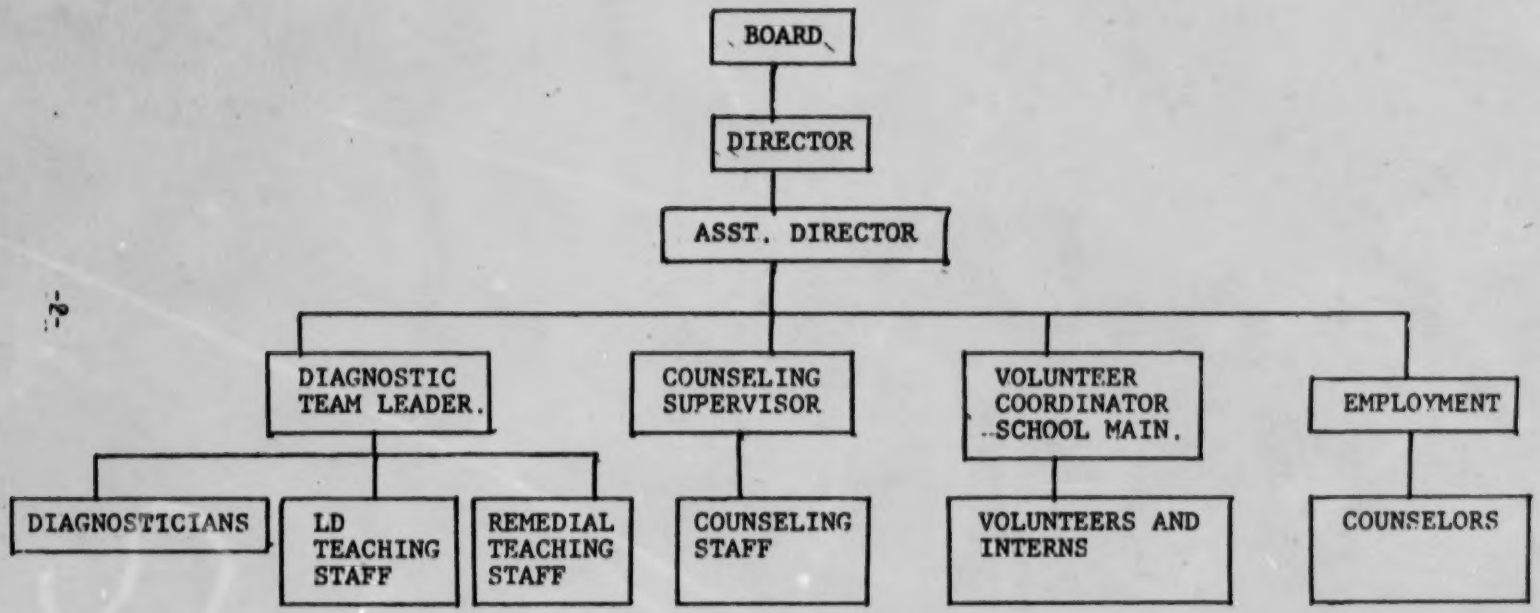
1. Optometrist

2. Psychologist

3. Lawyer

ORGANIZATIONAL CHART

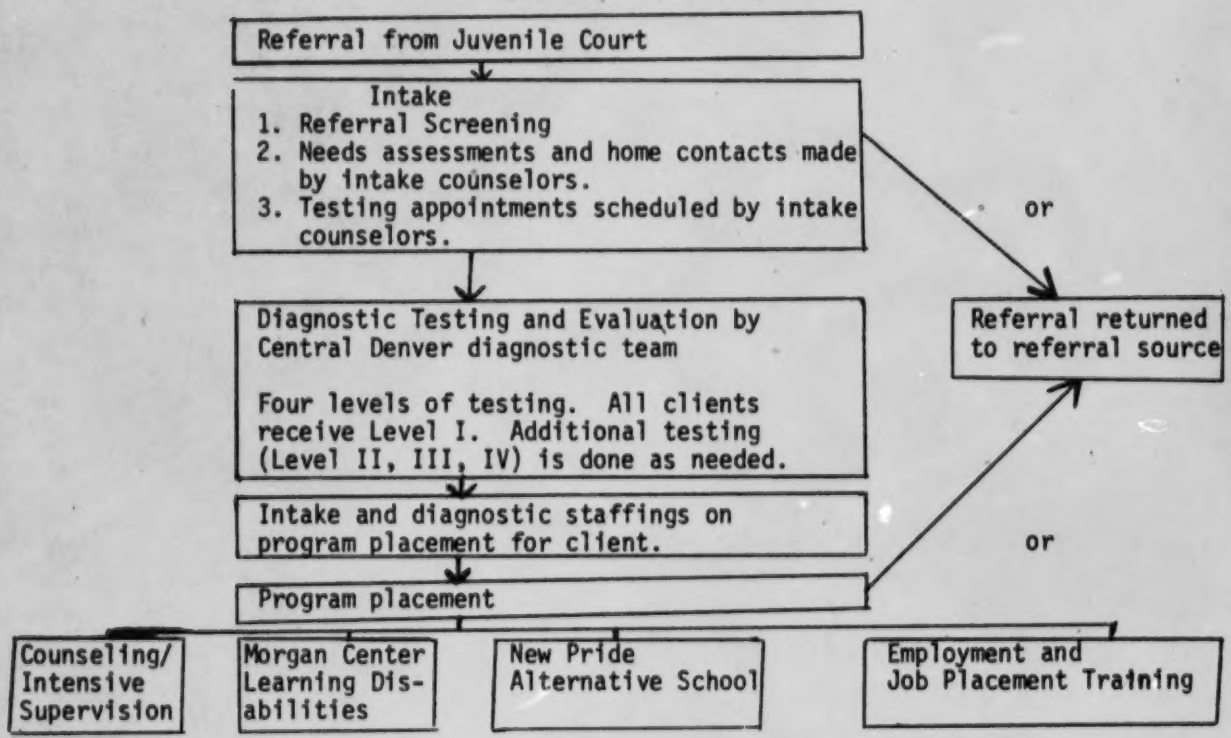
PROJECT NEW PRIDE



APPENDIX 5

NEW PRIDE - PROGRAM GUIDELINES

New Pride Inc. - System Client Flow Chart


Referral from Juvenile Court
Intake
1. Referral Screening
2. Needs assessments and home contacts made by intake counselors.
3. Testing appointments scheduled by intake counselors.
or
Referral returned to referral source
Diagnostic Testing and Evaluation by Central Denver diagnostic team
Four levels of testing. All clients receive Level I. Additional testing (Level II, III, IV) is done as needed.
Intake and diagnostic staffings on program placement for client.
or
Program placement
Counseling/ Intensive Supervision
Morgan Center Learning Dis-abilities
New Pride Alternative School
Employment and Job Placement Training

Services utilized by all programs:

1. School maintenance
2. Employment
3. Volunteer support

New Pride Inc.

Denver, Colorado

APPENDIX 6

COMMENTS RECEIVED REARDING THE NEW PRIDE REPLICATION AND LEAA'S RESPONSE

I. NATURE OF COMMENTS AND LEAA'S RESPONSE

LEAA received 16 comments directed toward specific programmatic issues. These comments, and LEAA's response, are indicated below:

A. Applicant Eligibility. Numerous comments were received on the issue of applicant eligibility. A number of comments centered around the question, "Can public and quasi-public agencies be eligible as grantees for this initiative?"

The decision was made to limit applicant eligibility to private non-profit organizations and agencies. This decision was made for the reasons set forth below:

1. The model upon which this replication is based requires a private non-profit agency as the lead implementing and co-ordinating agency. The impact of the New Pride Program on serious juvenile offenders and the non-profit perspective and capability were both significant factors in the decision to replicate the project nationally. In large part, this perspective and capability relate to two sets of factors:

   a. The flexibility of non-profit agencies with respect to recruitment and selection of skilled professionals; the time frame within which they can institute and creatively modify service delivery techniques as program needs require; and the resources and flexibility to refine treatment, organizational and management skills over a period of time.

   b. The ability of non-profit agencies to draw upon a range of community resources essential to support this project, and to incorporate the views of a range of community interests without the constraints of established regulations, procedures and pre-defined relationships.

2. This is a replication initiative and part of the process in replicating is to determine if it can effectively be implemented in other cities throughout the country. Project New Pride, Inc., a private non-profit agency, is distinctly different from public and quasi-public agencies. An important goal of this

replication program is to identify characteristics of private non-profit agencies which influence their capability to implement community-based treatment programs and influence the juvenile justice system practices.

3. One of the Office's goals under this program is to determine to what extent projects such as New Pride can be institutionalized after the initial period of Federal funds through reallocation of public and private funds.

4. In addition to the above, this program presents an excellent opportunity for OJJDP to determine the direction of future funding activities. Given our previous efforts, we are now in a position to evaluate programs implemented by public agencies. This initiative will provide us with an opportunity to evaluate the ability of private agencies to implement a major initiative that requires substantial coordination between the public and private sectors.

B. Institutionalization. One commentator questioned the ability of private non-profit agencies to institutionalize programs at the termination of the Federal funding. This comment stressed that the public sector has greater access and ability to secure public funds. While we recognize that institutionalization of projects as discussed in the draft Guideline may be more easily accomplished by public agencies, one of the results sought by the replication initiative is to determine whether private non-profit youth-serving agencies can develop innovative treatment alternatives, which can then be supported by public agencies who have public responsibility but often lack the flexibility to creatively experiment with new approaches.

C. Program Elements. It has been suggested that this Guideline allow for more flexibility and experimentation as to program elements and alternative approaches. For purposes of replication, the suggestion to allow for more flexibility and experimentation has been rejected because the purpose of this program is to replicate a model documented to be successful in reducing recividism of serious offenders and improving their overall social functioning. The expectation is that further demonstration and refinement of this model will result in a more effective treatment approach for serious juvenile offenders.

D. Several agencies located in Boston and New York commented on the jurisdictional approach as set forth in the draft Guideline. Specifically, that approach read, "The target for this program is adjudicated youth from 14 to 17 years of age residing in jurisdictions with high levels of serious juvenile crime, under court supervision with records of at least two (2) prior convictions for serious

misdemeanors and felonies (preferably robbery, burglary, or assault) who would otherwise be confined in correctional institutions or placed on probation. There will be no deviations from these target population characteristics except for applicants from jurisdictions that have established a juvenile court jurisdictional age other than 18."

1. The concern was expressed that in several jurisdictions the age characteristics of youth under the jurisdiction of the juvenile justice system do not coincide with those set forth in the Guideline. In recognition of that fact, the Guideline was modified to exclude youth under the age of 18 who are not subject to juvenile court jurisdiction (e.g., 16- and 17-year-olds in New York). It should also be understood that juveniles may be referred to the program from either the juvenile court or criminal court provided that they meet the juvenile jurisdictional age requirements. The decision was made to maintain 14 years of age as the minimum age requirement. An essential component of New Pride is job preparation and job placement. It is clear that a target population under the age of 14 would not be in a position to benefit from either of these goals. Thus no changes were made to the minimum age category.

2. Several comments were received regarding the offense characteristics of the target population. One commentator expressed the view that restrictions such as mandatory minimum sentences for juveniles under court jurisdiction, and eligibility based on specific offenses, would unduly restrict the target population. Therefore, it was suggested that the program be expanded to include within the target population youth who have committed less serious offenses. It should be emphasized that juveniles convicted of serious offenses (the precipitating offenses) with a record of at least two other serious offense adjudications/convictions within the past 24 months are the specific target population of this initiative. To alter the proposed eligibility criteria would detract from the major program purpose--comprehensive services for multiple serious offenders.

E. Evaluation. One comment suggested that projects be allowed to conduct their own evaluation or that the national evaluator be responsive to local program design and local needs.

As stated in the draft Guideline, "projects funded under the program will be evaluated by an independent evaluator selected by the Office of Juvenile Justice and Delinquency Prevention under a separate solicitation." OJJDP is supporting a National Evaluation to study the New Pride replication and the impact on youth involved. In view of the fact that this is a replication effort, there will be only minimal deviation from the established program model which includes a management information system/self evaluation component. Therefore, additional local evaluation efforts are not necessary. Because uniform criteria must be used to study such a national replication effort, OJJDP cannot fund individual evaluation efforts. However, as stated in the Guideline, "each project will implement a program management information system based on the system developed by the New Pride program. This system will include case management data and service delivery data," which projects would be expected to use in program management. Project evaluation requirements have been clarified and now read as follows:

1. Each project will implement a program management/self evaluation system, based on the system developed by Project New Pride, Inc., under the direction of the national evaluator. This system will address the following objectives:

   (a) to develop information on the numbers and types of youth served by the project;

   (b) to develop information on the level and types of services provided;

   (c) to determine the impact of the project on school achievement, remediation of learning disabilities, and employment of youths served by the program;

   (d) to determine the impact of the project on rearrest rates of youths served by the project;

   (e) to determine the impact of the project on the number of youth incarcerated; and

   (f) to determine what types of services appear to be most effective for what types of youth, and under what conditions.

F. Match. One reviewer suggested that the 10% cash match requirement be deleted or required as an in-kind match of not more than 5%. However, LEAA has no authority to waive the 10% cash match

requirement for Omnibus Crime Control and Safe Streets Act funds. Parts C and E discretionary grant funds are the source of funding for this initiative. OJJDP reserves the option to require an increase in grantee's cash match contribution in the third year of funding in order to encourage institutionalization of projects.

G. Advisory Group. Several comments addressed required representation on the local Advisory Group, suggesting that units of local government be represented on the Advisory Board. OJJDP concurs in the suggestion because of the importance of government support and participation in New Pride projects. The Guideline has been amended to read, "the Board must include youth, community residents and representatives from juvenile juistice system agencies, institutions of higher education, private industry, labor unions, and local and state public officials."

H. Service Providers. Concern was expressed by several youth serving agencies that the Guideline fails to spell out specific expectations for grantee purchase of service. Maximum credit will be given to those applicants who demonstrate a substantial capability to provide services directly. Project New Pride's role is based on a model that is significantly more than a brokerage role. Therefore the section of the Guideline entitled "Applicant Capability" has been amended, in part, to read as follows: "While applications may reflect the participation of several public and private youth serving agencies and organizations, the implementing agency must meet the following conditions of capability and show evidence by past performance of the applicant's ability to provide project services directly or contract for them as discussed in subsections (2) through (5) below."

I. Submission Requirements. One commentator noted that OJJDP did not specifically include the requirements outlined in Appendix 2, Section 2, Paragraph 4, of the Guide for Discretionary Grant Programs, M 4500.1G, issued September 30, 1978, for both "Consultation and Participation with State Planning Agencies" and "Submission and Processing Procedures." In order to make clear that these discretionary grant guideline requirements are fully applicable to this program, OJJDP has, in response, modified the Guideline submission requirements to specifically note that this requirement "includes appropriate consultation and participation with State Planning agencies."

J. Reference Service. To assure rapid response for requests of the brochure Project New Pride: An Exemplary Project, July 1977, NILECJ/LEAA, we are modifying the Guideline to permit direct written inquiries to OJJDP. The Section now reads: "(Copies of Project New Pride: An Exemplary Project, July 1977, NILECJ/LEAA, may be obtained from the Office of Juvenile Justice and Delinquency Prevention, LEAA, 633 Indiana Avenue, NW, Room 442, Washington, DC 20531)."

It should be stressed that the publication Project New Pride: An Exemplary Project should be used as background information only. The manual was published two years ago and during that period some refinements have been made to critical program elements. The critical program elements are explained in detail in Appendix 1. All applicants are urged to carefully review the critical program elements as well as read the New Pride manual.

APPENDIX 7

DIRECTORY OF STATE CLEARINGHOUSES AND STATE CENTRAL INFORMATION RECEPTION AGENCIES (For A-95/TC-1082 use)

The following addressees should be sent federal assistance action notices in compliance with Circular TC-1082, for State Central Information Reception Agencies (SCIRAs). Note that in 44 states the address of the State Clearinghouses and SCIRA is the same and a single notification will suffice when both A-95 and TC-1082 compliance (at state level) is required. Appropriate area-wide clearinghouse addressees must also be informed as applicable under A-95. At this writing, the State Clearinghouse and the SCIRA are different addressees in the States of Vermont, New Jersey, Illinois, Colorado, Nevada and Hawaii. This list will be updated periodically.

ALABAMA
Alabama Development Office
State Office Building
Montgomery, Alabama 36104

ALASKA
Planning and Research Div.
Office of the Governor
Pouch AD, State Capitol
Juneau, Alaska 99801

ARIZONA
Dept. of Economic Planning
and Development
Arizona State Clearinghouse
1624 West Adams Street
Phoenix, Arizona 85007

ARKANSAS
Department of Planning
400 Train Station Square
Little Rock, Arkansas 72201

CALIFORNIA
Office of the Governor
Office of Planning and Research
1400 Tenth Street
Sacramento, California 95814

COLORADO (2)
(1) State Clearinghouse:
Division of Planning
Department of Local Affairs
1845 Sherman Street
Denver, Colorado 80203

(2) SCIRA:
Office of State Planning and
Budgeting
Non-State Funds Section
617 State Services Building
Denver, Colorado 80203

CONNECTICUT
Office of Intergovernmental Programs
340 Capitol Avenue
Hartford, Connecticut 06115

DELAWARE
State Planning Office
Thomas Collins Building
530 S. Dupont Highway
Dover, Delaware 19901

INDIANA
State Budget Agency
212 State House
Indianapolis, Indiana 46204

IOWA
Office of Planning and
Programming
523 East 12th Street
Des Moines, Iowa 50319

KANSAS
Division of Planning and
Research
Department of Administration
State Office Building
Topeka, Kansas 66612

FLORIDA
Bureau of Intergovernmental Relations
Division of State Planning
660 Apalachee Parkway
Tallahassee, Florida 32304

GEORGIA
Office of Planning and Budget
Attention: Clearinghouse
270 Washington Street, S.W.
Atlanta, Georgia 30334

HAWAII (2)
(1) State Clearinghouse:
Department of Planning and Economic Development
P.O. Box 2359
Honolulu, Hawaii 96804

(2) SCIRA:
State of Hawaii
Department of Budget and Finance
P.O. Box 150
Honolulu, Hawaii 96810

KENTUCKY
State Clearinghouse
Office for Local Government
Capitol Annex, Room 327
Frankfort, Kentucky 40601

IDAHO
Division of Budget, Policy Planning and Coordination
State House
Boise, Idaho 83720

ILLINOIS (2)
(1) State Clearinghouse:
State Clearinghouse
Bureau of the Budget
103 State House
Springfield, Illinois 62706

(2) SCIRA:
State of Illinois
Commission of Intergovernmental Cooperation
217 S. First Street
Springfield, Illinois 62706

MINNESOTA
State Clearinghouse
State Planning Agency
Capitol Square Building, Room 101
St. Paul, Minnesota 55101

MISSISSIPPI
Coordinator Federal-State Programs
Office of the Governor
400 Watkins Building
510 George Street
Jackson, Mississippi 39201

MISSOURI
Office of Administration
State Planning and Analysis Division
P.O. Box 809
State Capitol Building
Jefferson City, Missouri 65101

LOUISIANA
Office of Intergovernmental Relations
P.O. Box 44455
Baton Rouge, Louisiana 70804

MAINE
Executive Department
Main State Clearinghouse
184 State Street
Augusta, Maine 04333

MARYLAND
Department of State Planning
301 W. Preston Street
Baltimore, Maryland 21202

MASSACHUSETTS
Office of State Planning
John Mc Cormack Building
1 Ashburton Place
Boston, Massachusetts 02108

MICHIGAN
Department of Management and Budget
Office of Intergovernmental Relations
Federal Aid Management Division
Lewis Cass Building
Lansing, Michigan 48913

NEW HAMPSHIRE
Coordinator of Federal Funds
State House
Concord, New Hampshire 03301

NEW JERSEY (2)
(1) State Clearinghouse:
Bureau of State and Regional Planning
Department of Community Affairs
329 W. State Street
P.O. Box 2768
Trenton, New Jersey 08625

(2) SCIRA:
Department of Treasury
Bureau of the Budget
State House
Trenton, New Jersey 08625

MONTANA
Research and Information Systems Division
Department of Community Affairs
1424 9th Avenue
Helena, Montana 59601

NEBRASKA
Office of Planning and Programming
Box 94001, State Capitol
Lincoln, Nebraska 68509

NEVADA (2)
(1) State Clearinghouse:
State Planning Coordinator
State Capitol Building
Carson City, Nevada 89701

(2) SCIRA:
State Department of Administration
Blasdale Building, Room 205
Carson City, Nevada 89701

OREGON
Federal Aid Coordinator
Intergovernmental Relations Division
240 Cottage Street
Salem, Oregon 97310

PENNSYLVANIA
State Clearinghouse
Intergovernmental Relations Division
Governor's Office of Budget
P.O. Box 1323
Harrisburg, Pennsylvania 17120

RHODE ISLAND
Statewide Planning Program
Dept. of Administration, Rm. 201
265 Melrose Street
Providence, Rhode Island 02907

NEW MEXICO
State Planning Office
State Capitol
Santa Fe, New Mexico 87501

NEW YORK
State Division of the Budget
State Capitol
Albany, New York 12224

NORTH CAROLINA
Office of Intergovernmental Relations
116 W. Jones Street
Raleigh, North Carolina 27603

NORTH DAKOTA
State Planning Agency
State Capitol
Bismarck, North Dakota 58501

OHIO
Office of Governor
State Clearinghouse
State Office Tower
30 E. Broad Street
Columbus, Ohio 43215

OKLAHOMA
State Grant-in-Aid Clearinghouse
5500 N. Western
Oklahoma City, Oklahoma 73118

VERMONT (2)
(1) State Clearinghouse:
State Planning Office
Pavilion Office Building
Montpelier, Vermont 05602

(2) SCIRA:
Department of Budget and Management
Pavilion Office Building
Montpelier, Vermont 05602

VIRGINIA
Division of State Planning and Community Affairs
1010 Madison Building
Richmond, Virginia 23219

SOUTH DAKOTA
State Planning Bureau
State Capitol
Pierre, South Dakota 57501

SOUTH CAROLINA
State Clearinghouse
Division of Administration
1205 Pendleton Street
Columbia, South Carolina 29201

TENNESSEE
Office of Urban and Federal Affairs
Suite 108, Parkway Towers
404 Robertson Parkway
Nashville, Tennessee 37219

TEXAS
Division of Planning Coordination
Office of the Governor
Capitol Station, P.O. Box 12428
Austin, Texas 78711

UTAH
State Planning Coordinator
118 State Capitol Building
Salt Lake City, Utah 84114

WASHINGTON
Office of Governor
Program Planning and Fiscal Management
House Office Building
Olympia, Washington 98504

WEST VIRGINIA
Grant Information Department
Office of Federal-State Relations
State Capitol Building
Charleston, West Virginia 25305

WISCONSIN
State Clearinghouse/Central Information Reception Agency
Department of Administration
Room B-158, State Office Building
1 West Wilson Street
Madison, Wisconsin 53702

WYOMING
State Planning Coordinator
Office of the Governor
Capitol Building
Cheyenne, Wyoming 82002

DISTRICT OF COLUMBIA
Office of Budget and Management Systems
District Building
14th and E Street, N.W.
Washington, D.C. 20004

PUERTO RICO
Planning Board
P.O. Box 9447
Santurce, Puerto Rico 00908

GUAM
Governor of Guam
Agana, Guam 96910

VIRGIN ISLANDS
Office of the Governor
P.O. Box 599
St. Thomas, Virgin Islands 00801

SAMOA
Planning and Budget Office
Government of American Somoa
Pago Pago, American Samoa 96799

APPENDIX 8 ADDRESSES OF STATE PLANNING AGENCIES

Alabama
Robert G. Davis, Director
Alabama Law Enforcement Planning Agency
2863 Fairlane Drive, Executive Park
Building F, Suite 49
Montgomery Alabama 36116
Phone (205) 277-5440 FTS 534-7700

Alaska
Charles Adams, Executive Director
Governor's Commission on the Administration of Justice
Pouch AJ
Juneau, Alaska 99811
Phone (907) 465-3535 FTS 399-0150 Thru Seattle

American Samoa
Meritiana Sunia, Acting Director
Criminal Justice Planning Agency
Government of American Samoa
P. O. Box 3760
Pago, Pago, American Samoa 96799
Phone Pago, Pago 633-5221
(Overseas Operator)

Arizona
William Braybrook, Acting Executive Director
Arizona State Justice Planning Agency
4820 N. Black Canyon
Phoenix, Arizona 85017
Phone (602) 271-5466 FTS 765-5466

Arkansas
Sam Tatom, Executive Director
Arkansas Crime Commission
1515 Building, Suite 700
Little Rock, Arkansas 72202
Phone (501) 371-1305 FTS 740-5011

California
Douglas R. Cunningham, Executive Director
Office of Criminal Justice Planning
7171 Bowling Drive
Sacramento, California 95823
Phone (916) 455-9156 FTS 465-9156

Colorado
Dian P. Callaghan, Acting Director
Division of Criminal Justice
1313 Sherman Street
Room 419
Denver, Colorado 80203
Phone (303) 839-3331 FTS 327-0111

Connecticut
William H. Carbone, Executive Director
Connecticut Justice Commission
75 Elm Street
Hartford, Connecticut 06115
Phone (203) 566-3020

Delaware
Christine Barker, Executive Director
Delaware Criminal Justice Planning Commission
State Office Building, Fourth Floor
820 North French Street
Wilmington, Delaware 19801
Phone (302) 571-3430

District of Columbia
Betsy Reveal, Executive Director
Office of Criminal Justice Plans and Analysis
Munsey Building, Suite 200
1329 E Street, N. W.
Washington, DC 20004
Phone (202) 727-6537

Florida
John H. Dale, Acting Bureau Chief
Bureau of Criminal Justice Assistance
530 Carlton Building, Room 215
Tallahassee, Florida 32304
Phone (904) 488-6001 FTS 946-2011

Georgia
Jim Higdon, Administrator
State Crime Commission
Suite 625
3400 Peachtree Road, N. E.
Atlanta, Georgia 30326
Phone (404) 894-4410 FTS 285-0111

Guam
Thomas Duke, Executive Director
Guam Criminal Justice Planning Agency
Government of Guam, P. O. Box 2950
Agana, Guam 96910
Phone Guam 472-8781 (Overseas Operator)

Hawaii
Irwin Tanaka, Director
State Law Enforcement and Juvenile Delinquency Planning Agency
1010 Richards Street
Kamamalu Building, Room 412
Honolulu, Hawaii 96813
Phone (808) 548-3800 FTS 556-0220

Idaho
Kenneth N. Green, Bureau Chief
Law Enforcement Planning Commission
700 West State Street
Boise, Idaho 83720
Phone (208) 384-2364 FTS 554-2364

Illinois
Daniel W. Weil, Acting Director
Illinois Law Enforcement Commission
120 South Riverside Plaza
Chicago, Illinois 60606
Phone (312) 454-1560

Indiana
William S. Mercuri, Executive Director
Indiana Criminal Justice Planning Agency
215 N. Senate
Indianapolis, Indiana 46202
Phone (317) 633-4773 FTS 336-4773

Iowa
Richard E. George, Director
Iowa Crime Commission
Lucas State Office Building
Des Moines, Iowa 50319
Phone (515) 281-3241 FTS 863-3241

Kansas
David W. P. O'Brien, Director
Governor's Committee on Criminal Administration
503 Kansas Avenue, Second Floor
Topeka, Kansas 66603
Phone (913) 296-3066 FTS 757-3066

Kentucky
John R. Lancaster, Acting Adminstrator
Executive Office of Staff Services
Department of Justice
State Office Building Annex, Second Floor
Frankfort, Kentucky 40601
Phone (502) 564-3251 FTS 352-5011

Louisiana
Wingate M. White, Executive Director
Louisiana Commission on Law Enforcement and
Administration of Criminal Justice
1885 Wooddale Boulevard, Room 615
Baton Rouge, Louisiana 70806
Phone (504) 389-7515

Maine
Ted Trott, Jr., Executive Director
Maine Criminal Justice Planning and Assistance
Agency
11 Parkwood Drive
Augusta, Maine 04330
Phone (207) 289-3361

Maryland
Richard C. Wertz, Executive Director
Governor's Commission on Law Enforcement and
Administration of Justice
One Investment Place, Suite 700
Towson, Maryland 21204
Phone (301) 321-3636

Massachusetts
Patricia McGovern, Executive Director
Committee on Criminal Justice
110 Tremont Street, Fourth Floor
Boston, Massachusetts 02108
Phone (617) 727-6300

Michigan
William Nugent, Acting Director
Office of Criminal Justice Programs
Lewis Cass Building, Second Floor
Lansing, Michigan 48909
Phone (517) 373-6655 FTS 253-3992

Minnesota
Robert Griesgraber, Executive Director
Minnesota Crime Control Planning Board
444 Lafayette Road
St. Paul, Minnesota 55101
Phone (612) 296-3113 FTS 776-3133

Mississippi
Kimsey "Bud" Lawrence, Executive Director
Mississippi Criminal Justice Planning Commission
Office of the Governor
723 N. President Street, Suite 400
Jackson, Mississippi 39202
Phone (601) 354-4111 FTS 490-4211

Missouri
Jay Sondhi, Executive Director
Missouri Council on Criminal Justice
P. O. Box 1041
Jefferson City, Missouri 65101
Phone (314) 751-3432 FTS 276-3711

Montana
Michael Lavin, Administrator
Board of Crime Control
1336 Helena Avenue
Helena, Montana 59601
Phone (406) 449-3604 FTS 387-3604

Nebraska
Harris R. Owens, Executive Director
Nebraska Commission on Law Enforcement and
Criminal Justice
State Capitol Building
Lincoln, Nebraska 68509
Phone (402) 471-2194 FTS 867-2194

APPENDIX 8 (CONT'D)

Nevada
Michael de la Torre, Director
Commission on Crime, Delinquency and Corrections
430 Jeanell, Capitol Complex
Carson City, Nevada 89710
Phone (702) 885-4405

New Hampshire
Parker Hancock, Acting Director
Governor's Commission on Crime and Delinquency
169 Manchester Street
Concord, New Hampshire 03301
Phone (603) 271-3601

New Jersey
John J. Mullaney, Executive Director
Law Enforcement Planning Agency
3535 Quaker Bridge Road
Trenton, New Jersey 08625
Phone (609) 292-3741

New Mexico
Jose Romero, Director
Department of Criminal Justice
Administrative Services Division
113 Washington Avenue
Santa Fe, New Mexico 87501
Phone (505) 827-5222 FTS 476-5222

New York
William T. Bonacum, Administrator
State of New York
Division of Criminal Justice Services
80 Centre Street, Fourth Floor
New York, New York 10013
Phone (212) 488-4868

North Carolina
Gordon Smith III, Administrator
Division of Crime Control
North Carolina Department of Crime Control and Public Safety
P. O. Box 27687
Raleigh, North Carolina 27611
Phone (919) 733-4000 FTS 672-4020

North Dakota
Oliver Thomas, Director
North Dakota Combined Law Enforcement Council
Box B
Bismarck, North Dakota 58505
Phone (701) 224-2594 FTS 783-4011

Northern Mariana Islands
Douglas C. Robinson, Director
Northern Mariana Islands Criminal Justice Planning Agency
Saipan, Mariana Islands 96950
Overseas Operator 9351

Ohio
Bennett J. Cooper, Assistant Director
Ohio Department of Economic and Community Development
Administration of Justice
30 East Broad Street, 26th Floor
Columbus, Ohio 43215
Phone (614) 466-7610 FTS 942-7610

Oklahoma
John Ransom, Director
Oklahoma Crime Commission
3033 N. Walnut
Oklahoma City, Oklahoma 73105
Phone (405) 521-2821 FTS 736-4011

Oregon
Keith Stubblefield, Administrator
Oregon Law Enforcement Council
2001 Front Street N. E.
Salem, Oregon 97310
Phone (503) 378-4347 FTS 530-4347

Pennsylvania
Thomas J. Brennan, Executive Director
Pennsylvania Commission on Crime and Delinquency
Department of Justice
P. O. Box 1167, Federal Square Station
Harrisburg, Pennsylvania 17120
Phone (717) 787-2040

Puerto Rico
Flavia Alfaro de Quevedo, Executive Director
Puerto Rico Crime Commission
GPO Box 1256
Hato Rey, Puerto Rico 00936
Phone (809) 783-0398

Rhode Island
Patrick J. Fingliss, Executive Director
Rhode Island Governor's Justice Commission
110 Eddy Street
Providence, Rhode Island 02903
Phone (401) 277-2620

South Carolina
Charles H. Ayer, Acting Director
Office of Criminal Justice Programs
Edgar A. Brown State Office Building
1205 Pendleton Street
Columbia, South Carolina 29201
Phone (803) 758-3573

South Dakota
Elliott Nelson, Director
Division of Law Enforcement Assistance
200 West Pleasant Drive
Pierre, South Dakota 57501
Phone (605) 773-3665 FTS 782-7000

Tennessee
Austin Gaines, Director
Tennessee Law Enforcement Planning Agency
Browning-Scott Building
4950 Linbar Drive
Nashville, Tennessee 37211
Phone (615) 741-3521 FTS 852-5022

Texas
Robert C. Flowers, Executive Director
Criminal Justice Division, Office of the Governor
411 West Thirteenth Street
Austin, Texas 78701
Phone (512) 475-4444

Trust Territory of the Pacific Islands
Dennis Lund, Administrator
Justice Improvement Commission
Capitol Heights, Pural P. O. Branch
Trust Territory of the Pacific Islands
Saipan, Mariana Islands 96950
Overseas Operator 9351

Utah
Robert B. Andersen, Director
Utah Council on Criminal Justice Administration
255 South Third Street-East
Salt Lake City, Utah 84111
Phone (801) 533-5731 FTS 588-5500

Vermont
William Baumann, Executive Director
Vermont Commission on the Administration of Justice
149 State Street
Montpelier, Vermont 05602
Phone (802) 828-2351

Virginia
Richard N. Harris, Director
Division of Justice and Crime Prevention
8501 Mayland Drive, Parham Park
Richmond, Virginia 23229
Phone (804) 281-9276 FTS 936-7421

Virgin Islands
Frank Mitchell, Acting Administrator
Virgin Islands Law Enforcement Planning Commission
Box 3807
St. Thomas, Virgin Islands 00801
Phone (809) 774-6400

Washington
Keith R. Weaver, Administrator
Division of Criminal Justice
Office of Financial Management
102 North Quince M.S. GF-01
Olympia, Washington 98504
Phone (206) 753-2235 FTS 434-2235

West Virginia
John King, Acting Director
Criminal Justice and Highway Safety Division
Morris Square, Suite 321
1212 Lewis Street
Charleston, West Virginia 25301
Phone (304) 348-8814

Wisconsin
Fred Wileman, Acting Executive Director
Wisconsin Council on Criminal Justice
122 West Washington Avenue
Madison, Wisconsin 53703
Phone (608) 266-3323 FTS 366-3323

Wyoming
William Penn, Administrator
Governor's Planning Committee on Criminal
State Office Building-East Administration
Cheyenne, Wyoming 82002
Phone (307) 777-7716 FTS 328-9716

APPENDIX 9

OMB Approval No. 29-R0218

FEDERAL ASSISTANCE

SECTION I—APPLICANT/RECIPIENT DATA

1. TYPE OF ACTION (Mark appropriate box)
- ☐ PREAPPLICATION
- ☐ APPLICATION
- ☐ NOTIFICATION OF INTENT (Opt.)
- ☐ REPORT OF FEDERAL ACTION

2. APPLICANT'S APPLICATION
- a. NUMBER
- b. DATE Year month day 19

3. STATE APPLICATION IDENTIFIER
- a. NUMBER
- b. DATE ASSIGNED Year month day 19

Leave Blank

4. LEGAL APPLICANT/RECIPIENT
- a. Applicant Name :
- b. Organization Unit :
- c. Street/P.O. Box :
- d. City :
- e. County :
- f. State :
- g. ZIP Code:
- h. Contact Person (Name & telephone No.) :

5. FEDERAL EMPLOYER IDENTIFICATION NO.

6. PROGRAM (From Federal Catalog)
- a. NUMBER
- b. TITLE

7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT

8. TYPE OF APPLICANT/RECIPIENT
A-State; B-Interstate; C-Substate District; D-County; E-City; F-School District; G-Special Purpose District; H-Community Action Agency; I-Higher Educational Institution; J-Indian Tribe; K-Other (Specify): _____
Enter appropriate letter ☐

9. TYPE OF ASSISTANCE
A-Basic Grant; B-Supplemental Grant; C-Loan; D-Insurance; E-Other
Enter appropriate letter(s) ☐☐

10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)

11. ESTIMATED NUMBER OF PERSONS BENEFITING

12. TYPE OF APPLICATION
A-New; B-Renewal; C-Revision; D-Continuation; E-Augmentation
Enter appropriate letter ☐

13. PROPOSED FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	.00

14. CONGRESSIONAL DISTRICTS OF:
- a. APPLICANT
- b. PROJECT

15. TYPE OF CHANGE (For 12c or 12e)
A-Increase Dollars; B-Decrease Dollars; C-Increase Duration; D-Decrease Duration; E-Cancellation; F-Other (Specify): _____
Enter appropriate letter(s) ☐☐☐

16. PROJECT START DATE Year month day 19

17. PROJECT DURATION Months

18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY ▶ Year month day 19

19. EXISTING FEDERAL IDENTIFICATION NUMBER

20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT ▶
a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached:

	No response	Response attached
(1)	☐	☐
(2)	☐	☐
(3)	☐	☐

23. CERTIFYING REPRESENTATIVE
- a. TYPED NAME AND TITLE
- b. SIGNATURE
- c. DATE SIGNED Year month day 19

SECTION III—FEDERAL AGENCY ACTION

24. AGENCY NAME

25. APPLICATION RECEIVED Year month day 19

26. ORGANIZATIONAL UNIT

27. ADMINISTRATIVE OFFICE

28. FEDERAL APPLICATION IDENTIFICATION

29. ADDRESS

30. FEDERAL GRANT IDENTIFICATION

31. ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. DEFERRED
- ☐ e. WITHDRAWN

32. FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	.00

33. ACTION DATE ▶ Year month day 19

34. STARTING DATE Year month day 19

35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

36. ENDING DATE Year month day 19

37. REMARKS ADDED ☐ Yes ☐ No

38. FEDERAL AGENCY A-95 ACTION
a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part I, OMB Circular A-95, it has been or is being made.

b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)

424-101

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 75-7

SECTION IV–REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74–7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A–95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

Item

1. Mark appropriate box. Pre-application and application guidance is in FMC 74–7 and Federal agency program instructions. Notification of intent guidance is in Circular A–95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared.

3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies *must* contain this identifier if the program is covered by Circular A–95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.

3b. Date applicant notified of clearinghouse identifier.

4a–4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.

5. Employer identification number of applicant as assigned by Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.

6b. Program title from Federal Catalog. Abbreviate if necessary.

7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.

8. Mostly self-explanatory. "City" includes town, township or other municipality.

9. Check the type(s) of assistance requested. The definitions of the terms are:

   A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.

   B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant's matching share).

   C. Loan. Self explanatory.

Item

   D. Insurance. Self explanatory.

   E. Other. Explain on remarks page.

10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.

11. Estimated number of persons directly benefiting from project.

12. Use appropriate code letter. Definitions are:

   A. New. A submittal for the first time for a new project.

   B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

   C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

   D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.

   E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.

14a. Self explanatory.

14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

15. Complete only for revisions (item 12c), or augmentations (item 12e).

Item	
16.	Approximate date project expected to begin (usually associated with estimated date of availability of funding).
17.	Estimated number of months to complete project after Federal funds are available.
18.	Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.
19.	Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".
20.	Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.
21.	Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

Item	
22b.	List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.
23a.	Name and title of authorized representative of legal applicant.
23b.	Self explanatory.
23c.	Self explanatory.
Note:	Applicant completes only Sections I and II. Section III is completed by Federal agencies.

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

Item	
24.	Executive department or independent agency having program administration responsibility.
25.	Self explanatory.
26.	Primary organizational unit below department level having direct program management responsibility.
27.	Office directly monitoring the program.
28.	Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.
29.	Complete address of administering office shown in item 26.
30.	Use to identify award actions where different from Federal application identifier in item 28.
31.	Self explanatory. Use remarks section to amplify where appropriate.
32.	Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.
33.	Date action was taken on this request.
34.	Date funds will become available.
35.	Name and telephone no. of agency person who can provide more information regarding this assistance.
36.	Date after which funds will no longer be available.
37.	Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.
38.	For use with A–95 action notices only. Name and telephone of person who can assure that appropriate A–95 action has been taken—If same as person shown in item 35, write "same". If not applicable, write "NA".

Federal Agency Procedures—special considerations

A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.

B. *OMB Circular A–95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A–95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A–95 notifications to clearinghouses.

C. *Special note.* In most, but not all States, the A–95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A–95 *award* notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

★70—16—83499—1 GPO

PART II

FORM APPROVED
OMB NO. 43-R0528

PROJECT APPROVAL INFORMATION

Item 1.
Does this assistance request require State, local, regional, or other priority rating?

_____ Yes _____ No

Name of Governing Body _____
Priority Rating _____

Item 2.
Does this assistance request require State, or local advisory, educational or health clearances?

_____ Yes _____ No

Name of Agency or Board _____ (Attach Documentation)

Item 3.
Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

_____ Yes _____ No

(Attach Comments)

Item 4.
Does this assistance request require State, local, regional or other planning approval?

_____ Yes _____ No

Name of Approving Agency _____
Date _____

Item 5.
Is the proposed project covered by an approved comprehensive plan?

_____ Yes _____ No

Check one: State ☐ Local ☐ Regional ☐
Location of Plan _____

Item 6.
Will the assistance requested serve a Federal installation?

_____ Yes _____ No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.
Will the assistance requested be on Federal land or installation?

_____ Yes _____ No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.
Will the assistance requested have an impact or effect on the environment?

_____ Yes _____ No

See instructions for additional information to be provided.

Item 9.
Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

_____ Yes _____ No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.
Is there other related assistance on this project previous, pending, or anticipated?

_____ Yes _____ No

See instructions for additional information to be provided.

LEAA FORM 4000/3 (Rev. 5-76)
Attachment to SF-424

(LEAA FORM 4000/3 (Rev. 8-74) is obsolete.)

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 – Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 – Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 – Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 – Furnish the name of the approving agency and the approval date.

Item 5 – Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 – Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 – Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 – Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 – State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 – Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

No grant may be awarded unless a completed application form has been received.
(Sec. 501, P.L. 93-83)

LEAA FORM 4000/3 (Rev. 5-76)
Attachment to SF-424

PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B – BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	$	$	$	$	$
7. Program Income	$	$	$	$	$

PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

LEAA FORM 4000/3 (Rev. 5-76)
Attachment to SF-424

SECTION C – NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS	$	$	$	$

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal					
15. TOTAL	$	$	$	$	$

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS	$	$	$	$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Line 8-11 – Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, FMC 74-7.

Column (a) – Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) – Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.

Column (c) – Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) – Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) – Enter totals of Columns (b), (c), and (d).

Line 12 – Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 – Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 – Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 – Enter the totals of amounts on Lines 13 and 14

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 – Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 – Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F – Other Budget Information.

Line 21 – Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 – Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 – Provide any other explanations required herein or any other comments deemed necessary.

LEAA Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a state or local unit of government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

PART IV
PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to FMC 74-7, explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements, including OMB Circular No. A-95 and FMCs 74-4 and 74-7, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.

3a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.

3b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.

3c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by LEAA.

4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.

5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.

6. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

7. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.

8. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with FMC 74-7.

9. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.

10. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA grant.

11. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the LEAA organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.

* U. S. GOVERNMENT PRINTING OFFICE : 1977 O - 241-090 (105)

APPENDIX 10

APPENDIX 2. PREPARATION AND SUBMISSION OF APPLICATIONS

1. SCOPE. This appendix provides information on how to prepare applications and on the process for submitting applications.

SECTION 1. PREPARATION OF APPLICATIONS

2. STANDARD APPLICATION FORMS.

   a. Applications for non-construction projects must be made on Standard Form 424, Application for Federal Assistance with Attachment LEAA Form 4000/3.

   b. Applications for construction projects must be made on Standard LEAA Form 424 with Attachment Form 4000/4, Application for Federal Assistance (Construction Program).

   c. Application forms may be obtained from Financial Management and Grants Administration Branch, Grants and Contracts Management Division, Office of the Comptroller, Law Enforcements Assistance Administration, Washington, D.C. 20531.

   d. Applicants must follow the Special LEAA instructions for Parts III and IV of the application found in Appendix 5.

   e. Some program descriptions require special data, information or evaluation plans from applicants. This should be added to the standard information required by the application forms and instructions.

   f. Because of the variety of discretionary programs, parts of the standard forms may not seem appropriate for certain applications. In such cases, applicants should be as responsive as possible and seek assistance from their State Planning Agencies or LEAA.

3. PREAPPLICATIONS.

   a. Preapplications, concept papers, or preaward site visits are required for some programs. These requirements, where applicable, are included in program descriptions (Chapters 1 through 6).

   b. All applicants are encouraged to contact LEAA for advice and assistance prior to submitting full grant applications. Offices from which information is available about specific programs are indicated in program descriptions (Chapters 1 through 6).

SECTION 2. SUBMISSION OF APPLICATIONS

4. CONSULTATION AND PARTICIPATION WITH STATE PLANNING AGENCIES.

NOTE: The requirements of this paragraph regarding review of applications by State Planning Agencies and award of grants through State Planning Agencies do not apply to applications for the Community Anti-Crime Program (Chapter 1, Paragraph 2). Applicants for Community Anti-Crime projects are encouraged, however, to consult with their State Planning Agency and regional or local planning unit and to submit copies of their applications to them for comment and advice.

a. Applicants must consult with the State Planning Agency of their State before making application for funds to LEAA. Names and addresses of State Planning Agencies are available from LEAA. Applicants are encouraged to review the most recent Comprehensive State Plan produced by the State Planning Agency and to request a conference with the SPA to discuss the proposed project. The conference should also include regional and/or local planning unit representatives.

b. When an application is submitted to LEAA for consideration, it MUST BE submitted at the same time to the State Planning Agency for review and comment.

c. The State Planning Agency has thirty days from the receipt of the application to comment to LEAA. It is not required to provide Certification, as indicated in subparagraph 4e, at this time although it may if it wishes (Certification is required before grant award, if the grant is awarded to the SPA.) It should provide LEAA with its comments regarding the desirability and feasibility of the proposed project. If no comments are received within 30 days, LEAA will assume that the SPA has no major objections to the proposed project.

d. Grants will normally be made to State Planning Agencies which will in turn subgrant to the applicant unless:

(1) The program description (Chapters 1 through 6) indicates that direct award will be made to implementing agencies; or

(2) The State Planning Agency declines to accept the award.

e. If the award is made to the State Planning Agency, the State Planning Agency must certify that it is willing to administer the grant and that:

(1) The proposed project is not inconsistent with the overall goals and general thrust of the State Comprehensive Plan;

(2) Block grant allocations to the beneficiary agency, unit of government, or region will not be reduced by virtue of the discretionary award; and

(3) The State Planning Agency will assist the subgrantee to obtain incorporation of the project's costs in State or local budgets, if the project is successful.

f. If the State Planning Agency declines to accept the award, LEAA may award the grant directly to the applicant, after consulting with the State Planning Agency.

5. SUBMISSION AND PROCESSING PROCEDURES.

a. Prior to application, applicant discusses proposed project with appropriate State Planning Agency and regional and/or local planning units.

b. Prior to submission of applications to LEAA, applicant notifies or submits application to appropriate A-95 Clearinghouse(s) in accordance with A-95 requirements. (28 CFR Part 30)

c. Applicant sends original and two copies of application to:

Control Desk
Grants and Contracts Management Division
Law Enforcement Assistance Administration
633 Indiana Avenue, N.W.
Washington, D.C. 20531

by the deadline indicated in program description (Chapters 1 through 6).

d. Applicant sends one copy of application to State Planning Agency (or Agencies in the case of multi-state projects) at the same time as applications are sent to LEAA.

e. Grants and Contracts Management Division reviews application and refers it to appropriate LEAA program office for program review.

f. LEAA program office reviews application and comments from State Planning Agency and A-95 Clearinghouse, if such comments have been submitted.

g. If necessary, LEAA program office requests additional information from applicant or discusses proposed project by phone or in person with applicant.

h. LEAA program office recommends approval or disapproval to Administrator, LEAA.

i. Administrator, LEAA, approves or disapproves application.

6. PANEL REVIEW PROCESS.

a. In many program areas, LEAA receives more grant applications than can be supported by available funds. The Panel Review Process is intended to promote more effective use of discretionary funds by providing for a comparison of each grant application with all of the other grant applications under the same program. In addition, advisory reviews permit a broader range of judgements about proposed projects to be used in making award decisions.

b. Applications for grants under any LEAA discretionary programs which employ the Panel Review Process (indicated in Program Descriptions, Chapters 1-6) are to be submitted so as to be received by LEAA at any time up to the deadline stated in the program description. Additional material or replacement material also may be submitted and will be considered, provided that it reaches LEAA before the applicable deadline. Applications will not be processed prior to the deadline but after the deadline, all applications will be reviewed concurrently by a panel of experts; the panel's rankings and recommendations will be forwarded to the cognizant LEAA staff members for consideration in further processing and selection of projects to be funded. Applicants will be informed of LEAA's decision concerning funding as expeditiously as possible within 90 days of the program's closing deadline date.

7. NOTIFICATION.

a. Applicants will normally be notified of approval or disapproval of their applications within 90 days of the indicated program deadline date for programs utilizing the Panel Review process (paragraph 6) or within 90 days of LEAA's receipt of application for programs not utilizing the panel review process.

b. Under certain circumstances, application processing exceeds the 90 day period. In such cases applicants will be notified.

c. If application is not approved, applicant will be given written reasons for rejection.

APPENDIX 5: SPECIAL INSTRUCTIONS FOR NON-CONSTRUCTION GRANT APPLICATIONS, STANDARD FORM 424: PART I, PART III BUDGET INFORMATION AND BUDGET NARRATIVE, AND PART IV PROGRAM NARRATIVE

1. SCOPE. This appendix provides information to assist the applicants in developing the information required by the instructions for Parts I, III, and IV of the form for application for non-construction grants, Standard Form 424. (Appendix 6 of this Manual) For instructions concerning specific items of content required in applications for grants in program areas, consult the program descriptions in Chapters 1 through 6 of this Manual.

2. PART 1, (STANDARD FORM 424)

   a. Item No. 5, Federal Employer Identification Number. Enter the employer identification number assigned to the organization by the United States Internal Revenue Service.

   b. Item No. 6, Federal Catalog Number. The Catalog of Federal Domestic Assistance program number for LEAA discretionary grants is 16.501. Only this number should be placed in block 6.

   c. Item No. 7, Title and Description. Indicate the title of the program listed in Chapters 1-6 of this Manual from which funding is sought. Summarize the project in one or two sentences.

   d. Item No. 8, Type of Applicant. Applicant here refers to the State agency, local government unit, institution or department or non-profit organization which will implement the project whether as direct grantee or subgrantee of a State Planning Agency.

   e. Item No. 23, Signature of Authorized Representative. The signature shown MUST BE that of the individual authorized to enter into binding commitments on behalf of the applicant or implementing agency. He will normally be the chief officer of the agency or governmental unit involved. (Signature is required on original of submitted application copies.)

3. PART III, BUDGET INFORMATION AND BUDGET NARRATIVE. (Pages 7 through 10 of Application)

a. Budget Information. (Section A)

(1) Section A, column (a). Grant applications requesting only one kind of discretionary funds (either Part C or Part E), should place the designation "DF-Part C" or "DF-Part E" as appropriate on line 1. Grant applications requesting a combination of Part C and Part E funding should place the designation on line 2.

(2) Section A, column (b). Column (b) will always reflect the Catalog of Federal Domestic Assistance program number for LEAA discretionary grants, 16.501. This is the same number that appears in Item 6 of Part I of the application.

b. Budget Narrative. Applicants for grants must submit on separate sheets a budget narrative. The budget narrative should detail by budget category the Federal and non-federal (in kind and cash) share. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. The following information is provided to assist the applicant in developing the budget narrative.

(1) Personnel Category. List each position by title (and name of employee if available), show annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in Federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.

(2) Fringe Benefits Category. Indicate each type of benefit included and the total cost allowable to employees assigned to the project.

(3) Travel Category. Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings, etc.) and show basis or computation (e.g., "Five trips for 'x' purpose at $80 average cost - $50 transportation and two days per diem at $15" or "Six people to 3-day meeting at $70 transportation and $45 subsistence".) In training projects where travel and subsistence for trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.

(a) Identify the tentative location of all training sessions, meetings, and other travel.

(b) Applicants should consult such references as the Official Airline Guide and the Hotel and Motel Redbook in projecting travel costs to obtain competitive rates.

(4) Equipment. List each type of equipment to be purchased or rented with unit or monthly costs.

(5) Supplies. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.

(6) Contractual Category. State the selection basis for any contract or subcontract or prospective contract or subcontract, (including construction services and equipment).

(a) For individuals to be reimbursed for personal services on a fee basis, list by name or type of consultant or service, the proposed fee (by day, week or hour), and the amount of time to be devoted to such services.

(b) For construction contracts and organization, (including professional associations and education institutions performing professional services), indicate the type of services to be performed and the estimated contract cost data.

(7) Construction Category. Describe construction or renovation which will be accomplished using grant funds and the method used to calculate cost.

(8) Other Category. Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent-provide local and long distance telephone charges separately.)

(9) Indirect Cost Category. The Administration may accept any indirect cost rate previously approved for an applicant by a Federal agency. Applicants must enclose a copy of the approved rate agreement with the grant application.

In lieu of an approved flat rate, amounts not in excess of five percent of total direct cost or ten percent of salaries and wages, including fringe benefits, may be claimed. If this method is used, the applicant must justify the requested amount.

(10) Program Income. If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application (to reduce the costs of the project or to increase the scope of the project). Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example registration fees) are awarded by the organization to certain conferences attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.

(11) Matching Funds. Describe the source and amount of matching funds.

(12) Evaluation. If an independent evaluation is included as part of the project, the cost of the evaluation contract or subgrant should be included under item (6) Contractual Category. In addition, a separate budget narrative for the evaluation grant or contract should be appended to the budget narrative.

4. PART IV - PROGRAM NARRATIVE INSTRUCTIONS.

a. Standard Form 424 Instructions require applicants to prepare a program narrative. Items 1 through 3 of the instructions essentially require applicants to answer the following five questions:

(1) What problems are to be addressed by project activity? (Item 1 of Part IV)

(2) What results are to be sought by the project for which support is requested? (Items 1 and 2 of Part IV)

(3) How is the project expected to work? (Items 2 and 3b of Part IV)

(4) What steps will be involved in setting up and operating the project? (Items 3a, 3b, and 3d of Part IV)

(5) What arrangements will be made for review of project progress? (Items 3b and 3c of Part IV)

b. These questions should be used as the basis for preparing the program narrative as discussed below. If a particular section levies a requirement which is not practical or possible given the nature of the grant, a justification for not completing that section must be given. All applicants must follow the format provided.

(1) Statement of problem addressed. Describe the problem to be addressed in measurable terms. (A listing of key data elements will usually be found in the program description).

(2) Statement of results sought.

(a) State the objectives of the project indicating the intended impact of the project upon problems of crime or delinquency or improvement of the criminal justice system. General objectives and results sought are usually stated in the program description. This section should relate those general objectives and results to the specific project location and target population or clientele.

(b) This section should describe both performance goals and impact goals.

1 Performance Goals. Performance goals help to measure the progress of project implementation. Performance goals relate therefore to the "means" selected to accomplish the project. In a crime prevention project, for example, a performance goal might be "to target harden (lights and locks) one hundred residences within census tract three by month six." (For comparative purposes see the impact goals example for this same type of project given below.)

2 Impact Goal. An impact goal helps to measure the effect that the project is expected to have on crime or the criminal justice system itself. An impact goal relates therefore to project "ends" rather than project "means". To use the crime prevention example again, an impact goal might be "a 5% reduction in residential burglaries within census tract three by month eight."

(3) How the project will work. Describe the activities that will by undertaken and the resources that will be required to support those activities. Indicate how project elements will be implemented. (A listing of key project elements usually will be found in the program description).

(4) Steps involved in setting up and operating the project. (Grant Implementation Plan). The grant implementation plan should indicate implementation steps, operating activities, milestones, and a timetable for review of project progress. The grant implementation plan details the major steps which must be taken to carry the grant through to completion and goal achievement. It consists of two parts, a "start-up" plan and a "program operations" plan. The entire grant implementation plan should consist of a step-by-step process for completing the grant and achieving its goals. If the plan does not achieve this, it will not support an LEAA decision to fund the grant application.

(a) Start-up. For each of the following identify the major activities involved in starting and completing each step. If a particular step will take longer than two months to complete, divide it into substeps so its progress can be measured.

1 Contract Staff/Consultant Hiring. List each staff and consultant position which is critical to project start-up program operations. Indicate the target dates for starting to recruit and fill each critical position.

2 Space, Major Equipment and Services. Identify the major space, equipment and services items which must be acquired before the grant can become operational. Indicate for each item the target dates for starting and completing acquisition efforts.

3 Preparatory Program Steps. Identify and list the program steps that must be accomplished before the grant can become operational. Include target start and completion dates for each step. Examples of preparatory program steps include data or clients to the grant program, design and production of survey instruments, etc.

4 Establishment of Administrative Controls. List critical administrative controls that must be established during the start-up period of the grant. A critical control is one that is essential to the management of resources and project implementation. Include start and completion dates for establishing

5 Anticipated Start-up Delay. Indicate whether a delay can be expected from date of LEAA award to project start-up. For example, the project may be delayed by the requirements that Federal funds be "passed-through" other levels of government before they reach the project. Another delay might be caused by state legislative action required to approve matching funds.

(b) Program operations plan. Identify the tasks involved in carrying the project through to its objectives once services have begun, the milestones for review of project operations, and the performance targets set for each milestone. If a particular step will take longer than two months to complete, break it down into substeps so progress towards it can be measured.

(5) Plans for review of project progress. Describe how the achievement of objectives will be measured. Identify what data will be collected, by whom, and on what schedule to assess the progress of the project. This section should serve as the basis for obtaining and analyzing data and information required for progress reporting to LEAA (See Appendix 3, Paragraph 8 and Appendix 16 of M 4500.1F).

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